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PTO/SB/21 (07-06)

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TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	10/521,544-Conf. #9344	
	Filing Date	January 14, 2005	
	First Named Inventor	Shiro Sakai	
	Art Unit	2826	
	Examiner Name	F. Abraham	
Total Number of Pages in This Submission	6	Attorney Docket Number	08228/071001

ENCLOSURES (Check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): IDS (Citation) by Applicant (3 references) (1 page) References enclosed (3) Certificate of Express Mailing (1 page) Return Receipt Postcard
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name	OSHA LIANG LLP		
Signature	<i>Jonathan P. Osha</i> REG. NO. 31,124		
Printed name	FOR: Jonathan P. Osha		
Date	October 26, 2006	Reg. No.	33,986



Application No. (if known): 10/521,544

Attorney Docket No.: 08228/071001

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Transmittal PTO/SB/21 (1 page)
Information Disclosure Statement (2 pages)
IDS (Citation) by Applicant (3 references) (1 page)
References enclosed (3)
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Docket No.: 08228/071001
(PATENT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:
Shiro Sakai et al.

Application No.: 10/521,544

Confirmation No.: 9344

Filed: January 14, 2005

Art Unit: 2826

For: GALLIUM NITRIDE-BASED COMPOUND
SEMICONDUCTOR DEVICE

Examiner: F. Abraham

INFORMATION DISCLOSURE STATEMENT (IDS)

MS: AMENDMENT
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

Pursuant to 37 CFR 1.56, 1.97 and 1.98, the attention of the Patent and Trademark Office is hereby directed to the references listed on the attached PTO/SB/08. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

This Information Disclosure Statement is filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Office Action or Notice of Allowance (37 CFR 1.97(c)).

I hereby certify, pursuant to 37 CFR 1.97(e)(1), that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.

In accordance with 37 CFR 1.98(a)(2)(ii), Applicant has not submitted copies of U.S. patents and U.S. patent applications. Applicant submits herewith copies of foreign patents and non-patent literature in accordance with 37 CFR 1.98(a)(2).


In accordance with 37 CFR 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 CFR 1.56(a) exists. In accordance with 37 CFR 1.97(h), the filing of this Information Disclosure Statement shall not be construed to be an admission that any patent, publication or other information referred to therein is "prior art" for this invention unless specifically designated as such.

It is submitted that the Information Disclosure Statement is in compliance with 37 CFR 1.98 and the Examiner is respectfully requested to consider the listed references.

The Director is hereby authorized to charge any deficiency in the fees filed, asserted to be filed or which should have been filed herewith to our Deposit Account No. 50-0591, under Order No. 08228/071001.

Dated: October 26, 2006

Respectfully submitted,

By: 
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PTO/SB/08a/b (07-06)

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Substitute for form 1449A/B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)				Complete If Known	
				Application Number	10/521,544-Conf. #9344
				Filing Date	January 14, 2005
				First Named Inventor	Shiro Sakai
				Art Unit	2826
				Examiner Name	F. Abraham
Sheet	1	of	1	Attorney Docket Number	08228/071001

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			

FOREIGN PATENT DOCUMENTS						
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NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	CA	European Search Report issued on October 6, 2006 for corresponding European Patent Application No. 03738612.5-2222, PCT/JP0308365, 2 pages	
	CB	Mary H. Crawford, et al. Design and Performance of Nitride-based UV LEDs, Vol. 3938, 2000, pages 13-23, XP008060093 (cited in European Search Report), 11 pages	
	CC	M. Shatalov, et al. Band-edge luminescence in quaternary AlInGaN light-emitting diodes, Vol. 78, No. 6, February 5, 2001, pages 817-819, XP012028574 (cited in European Search Report), 3 pages	

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